

Fig. 1

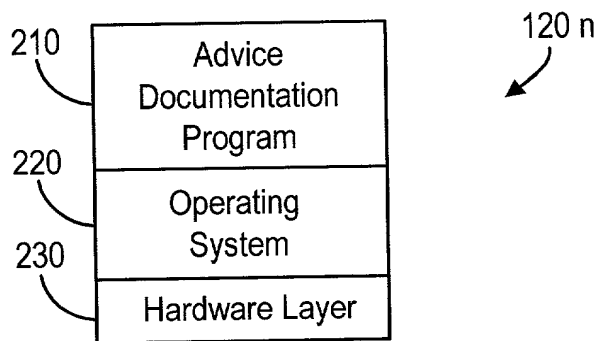


Fig. 2A

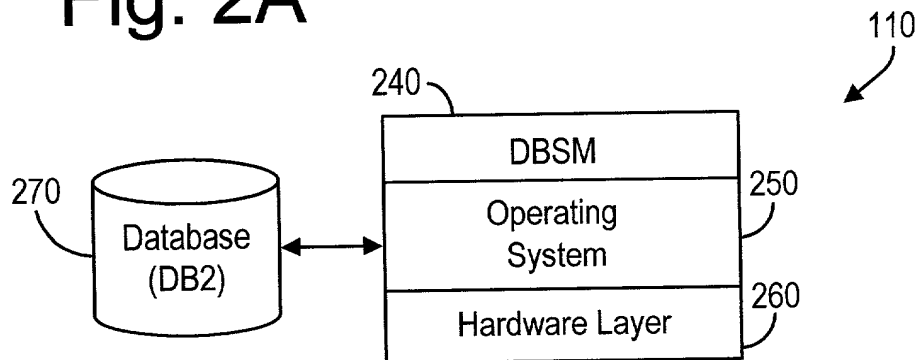


Fig. 2B

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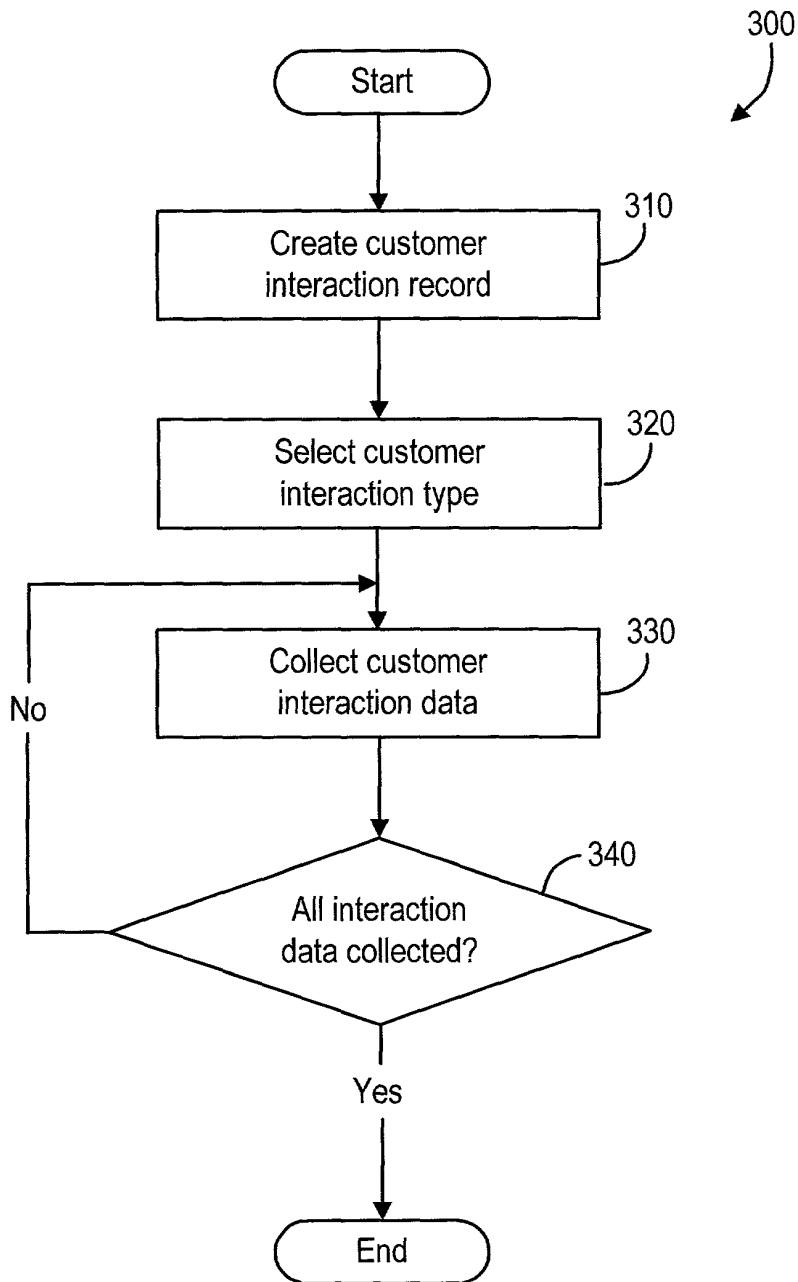


Fig. 3

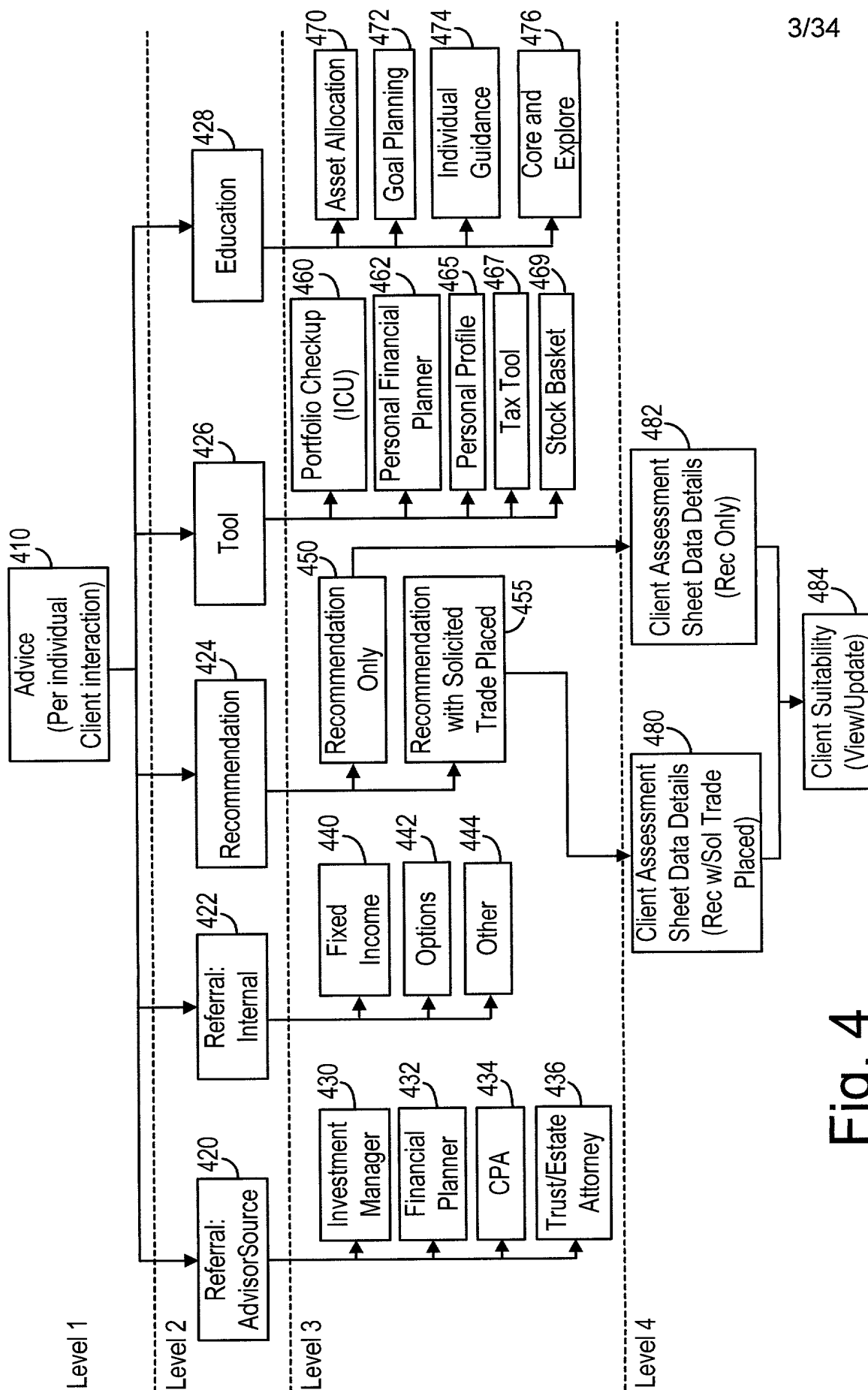


Fig. 4

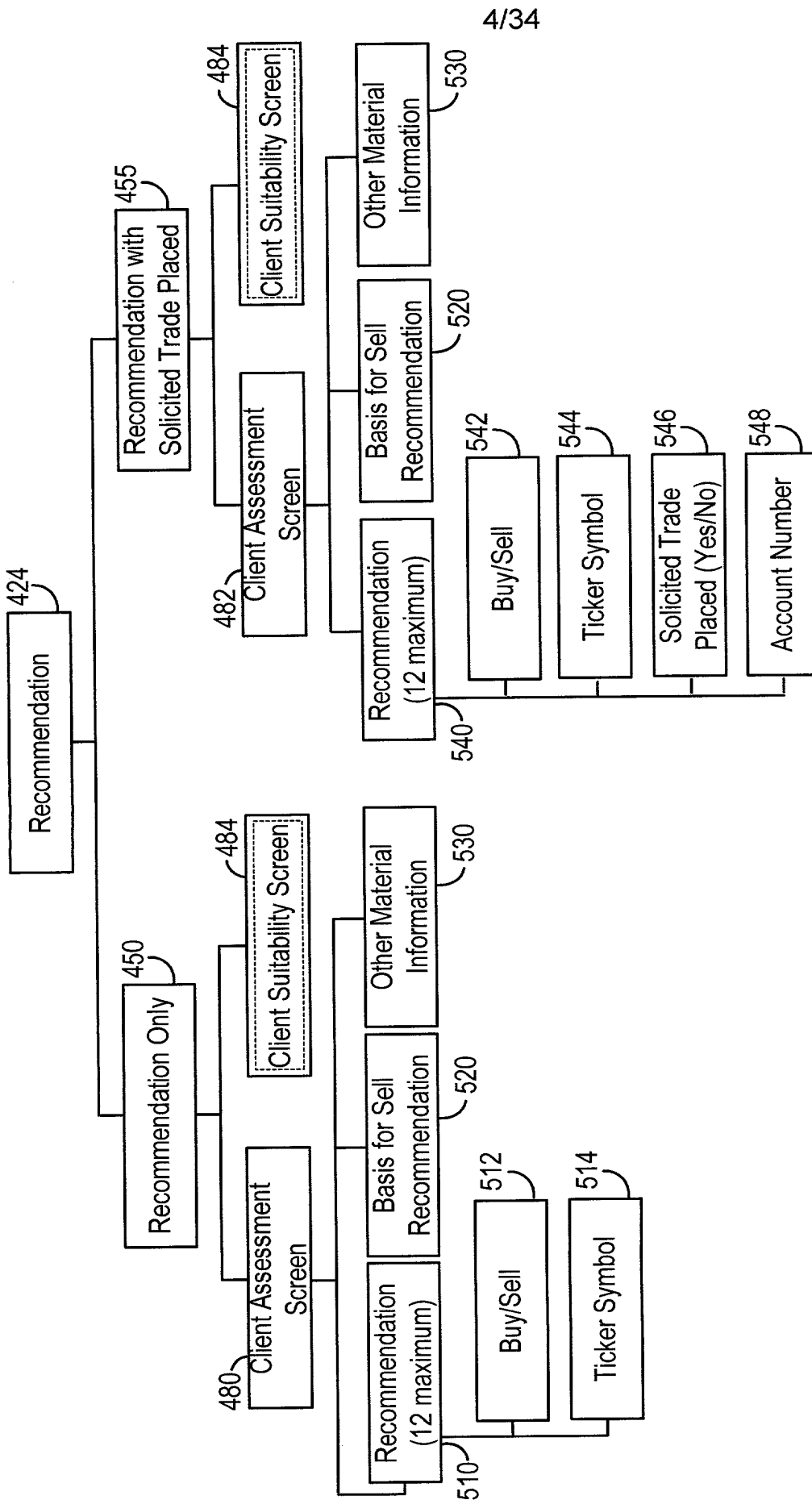


Fig. 5

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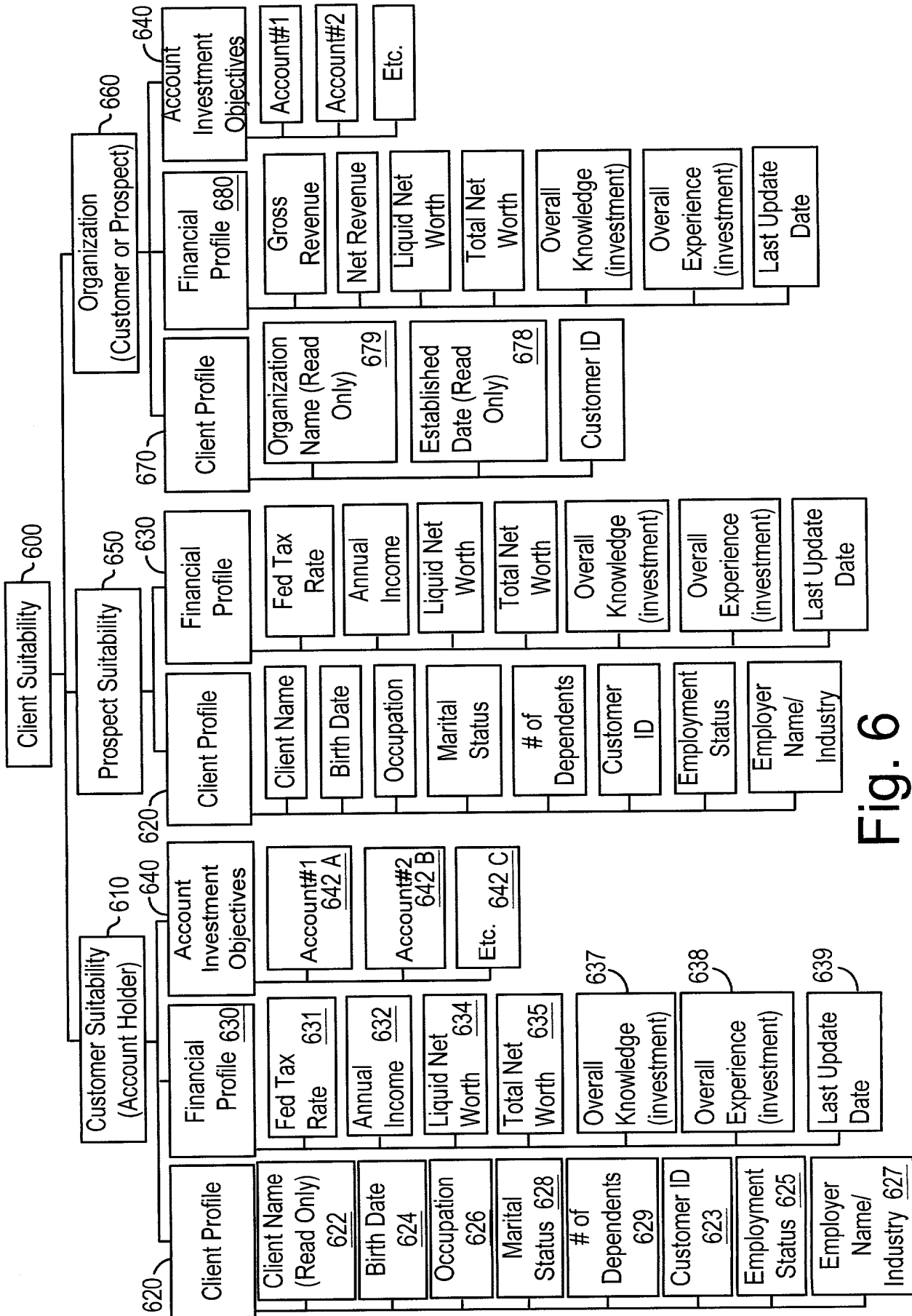


Fig. 6

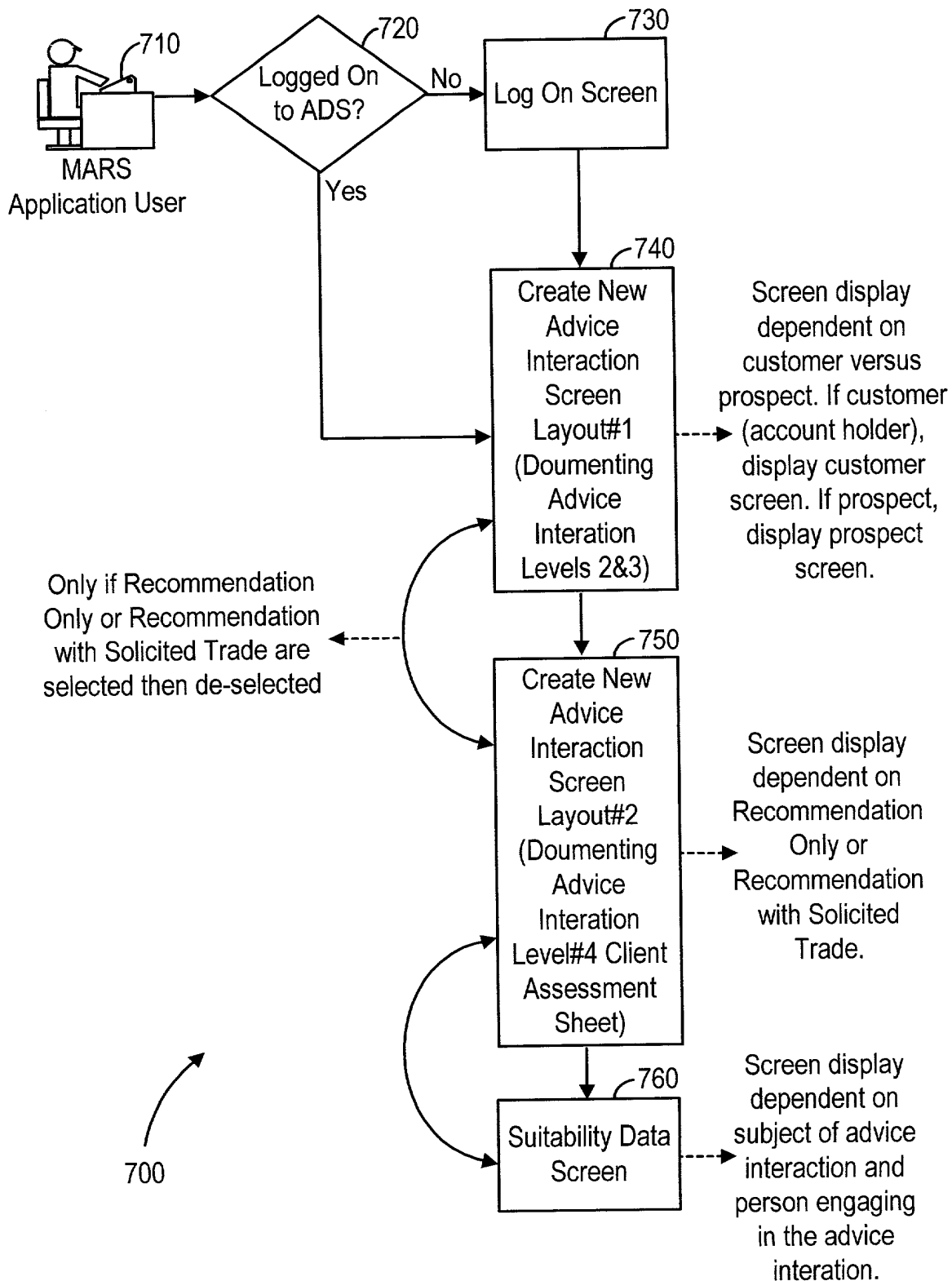


Fig 7

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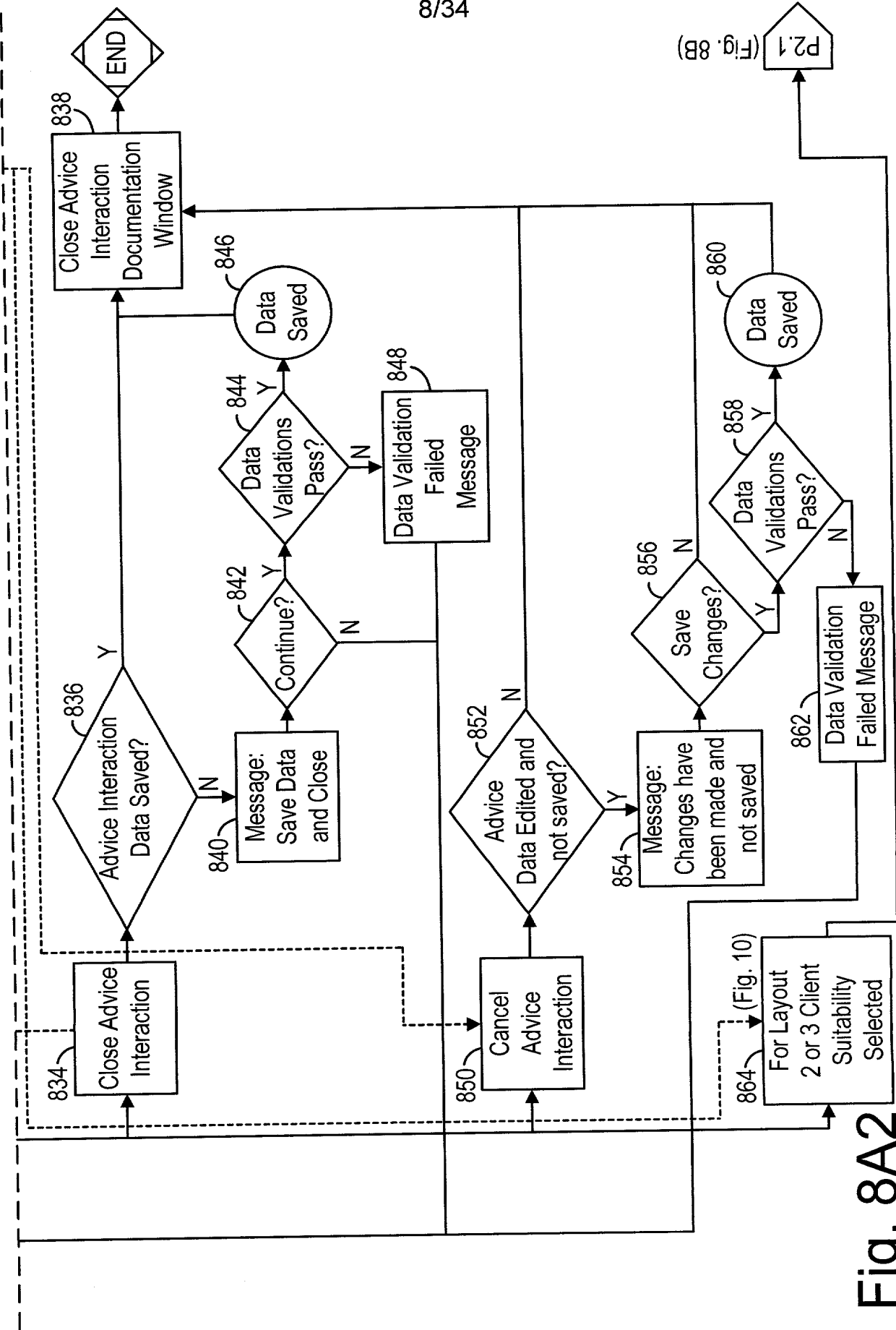


Fig. 8A2

Fig. 8B
 Fig. 8B1
 Fig. 8B2

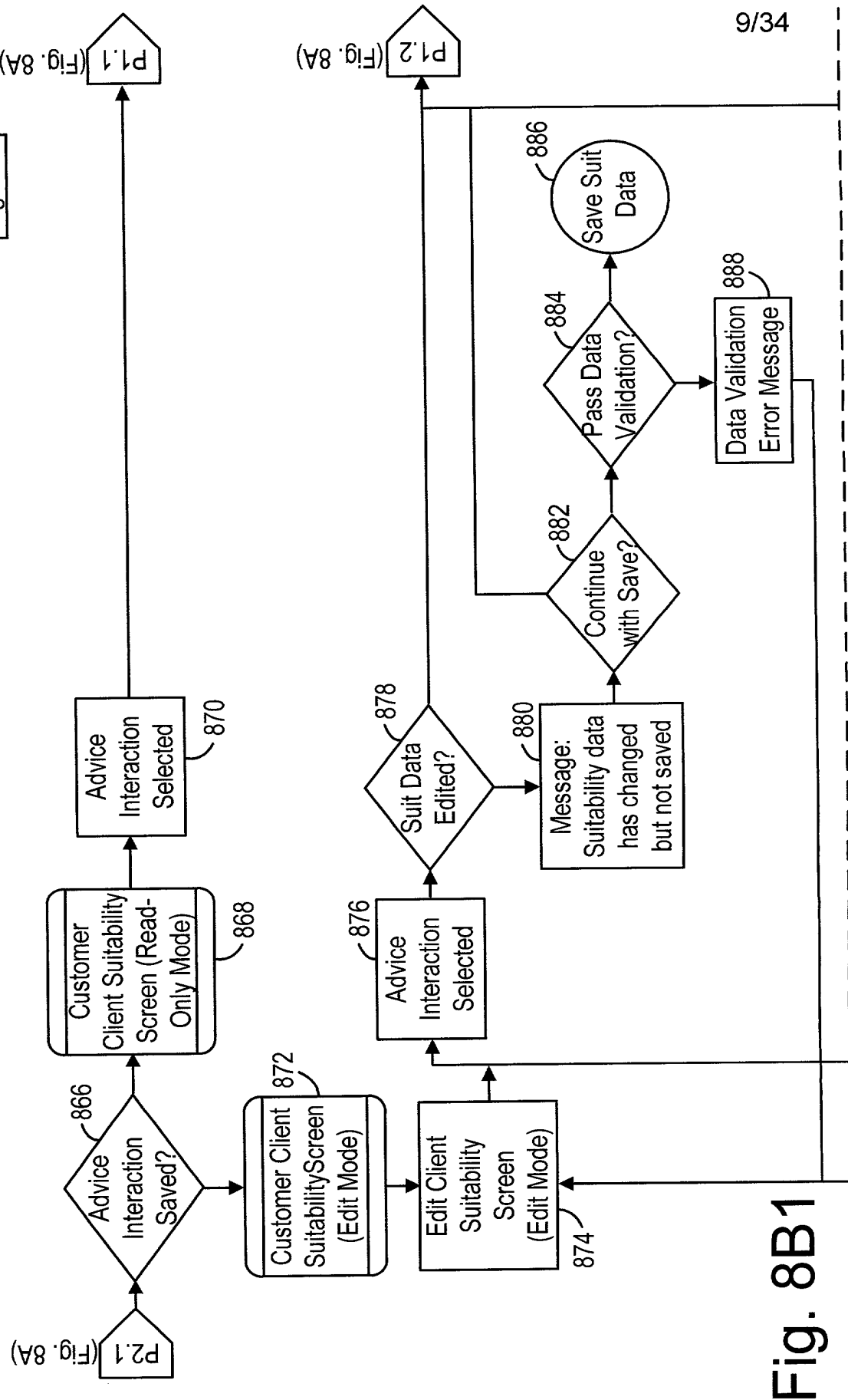


Fig. 8B1

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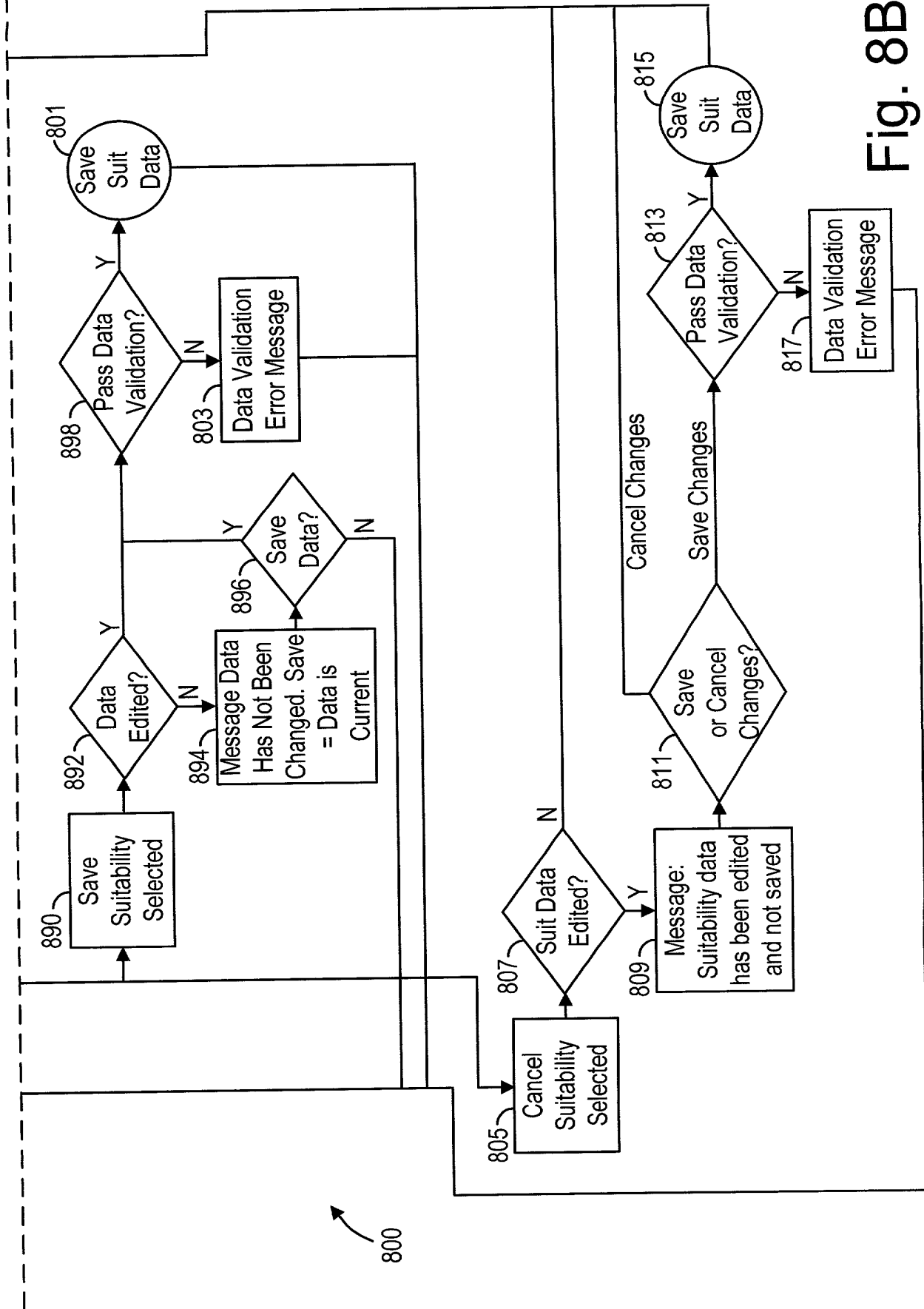


Fig. 8B2

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New Advice Interaction: Customer

Save Close Cancel

Rep Beta Sign On RDRO Group/Team

Select One ▾

Client Name

Scafa Last Rosemarie First X Initial

Date of Interaction

Advice Interaction Detail

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal

☐ Fixed Income ☐ Options ☐ Other

Tool

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

Education

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

Recommendation

☐ Recommendation(s) Only ☐ Recommendation(s) With Solicited Trade(s) Placed

Recommendation(s) were discussed with the following person

Select One ▾

900

Fig. 9A

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New Advice Interaction: Customer			Suitability		Save	Close	Cancel
Rep Beta Sign On	RDRO	Group/Team	Select One				
Client Name							
Scafa	Rosemarie	X					
Last	First	Initial					
Date of Interaction							
Client Representative							
▼							
Advice Interaction Detail							
Referral: AdvisorSource (SAS)							
<input type="checkbox"/> Investment Manager							
<input type="checkbox"/> Financial Planner							
<input type="checkbox"/> Trust/Estate Attorney							
<input type="checkbox"/> CPA							
Referral: Internal							
<input type="checkbox"/> Fixed Income							
<input type="checkbox"/> Options							
Other							
Tool							
<input type="checkbox"/> Portfolio Checkup							
<input type="checkbox"/> Personal Financial Plan							
<input type="checkbox"/> BIP							
Education							
<input type="checkbox"/> Asset Allocation							
<input type="checkbox"/> Core and Explore							
<input type="checkbox"/> Individual Guidance							
<input type="checkbox"/> Goal Planning							
Recommendation							
<input type="checkbox"/> Recommendation(s) Only							
<input type="checkbox"/> Recommendation(s) With Solicited Trade(s) Placed							
Recommendation(s) were discussed with the following person							
Select One							
▼							
Client Assessment: Recommendation(s) Only							
Please review <u>Suitability</u> information pertinent to this Client Assessment and update if warranted.							
<input type="checkbox"/> Suitability data has been reviewed							
Securities Recommended							
For securities that not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.							

Fig. 9B1

900

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	Recommendation		Ticker Symbol
1.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
2.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
3.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
4.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
5.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
6.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
7.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
8.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
9.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
10.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
11.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>
12.	<input type="radio"/> Buy	<input type="radio"/> Sell	<input type="text"/>

Basis For Recommendation

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

▼

▲

Other Material Information (optional)

▼

▲

900

Fig. 9B2

14/34

Save Close Cancel

New Advice Interaction: Customer

Rep Beta Sign On RDRO Group/Team

Client Name

Scafa Rosemarie X
Last First Initial

Select One

Date of Interaction

Advice Interaction Detail

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal

☐ Fixed Income ☐ Options ☐ Other

Tool

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

Education

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

Recommendation

☐ Recommendation(s) Only ☐ Recommendation(s) With Solicited Trade(s) Placed

Recommendation(s) were discussed with the following person

Select One

Client Assessment: Recommendation(s) with Solicited Trade(s) Placed

Please review Suitability information pertinent to this Client Assessment and update if warranted.

☐ Suitability data has been reviewed

Fig. 9C1

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Securities Recommended

For securities that do not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.

	Recommendation	Ticker Symbol	Solicited Trade Placed	Account Number
1.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
2.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
3.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
4.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
5.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
6.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
7.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
8.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
9.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
10.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
11.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼
12.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No	<input type="text" value="---Select One---"/> ▼

Basis For Recommendation

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

▼
 □
 ▲

Other Material Information (optional)

▼
 □
 ▲

970

Fig. 9C2

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Cancel

Save

Advice Interaction

Client Suitability: Customer

Client Profile

Name

Scafa
Last

Rosemarie
First

X
Initial

Birth Date

Occupation

Marital Status

No. of Dependents

Financial Profile

Last Updated: 10/01/1999

Federal Tax Rate (%)

Annual Income (\$000's)

Liquid Net Worth (\$000's)

Total Net Worth (\$000's)

Overall Knowledge

Overall Experience

Account Investment Objectives

Client Investment Objectives for the following Accounts

- 12345678 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation
- 73558963 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation
- 90472214 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation

Fig. 10A

Client Suitability: Customer

Advice Interaction

Save

Cancel

Client Profile

Name
Scafa Rosemarie X Birth Date
Last First Initial 12/17/1960

No. of Dependents

Marital Status

Financial Profile

Last Updated: 10/01/1999

Federal Tax Rate (%)

Annual Income (\$000's)

Liquid Net Worth (\$000's)

Total Net Worth (\$000's)

Name

Smith Sam
Last First

Role

Custodian

Overall Knowledge

Overall Experience

Account Investment Objectives

Client Investment Objectives for the following Accounts

12345678 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation
73558963 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation

Fig. 10B

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Client Suitability: Customer			Advice Interaction	Save	Cancel
Client Profile					
Name			Birth Date		
Scafa	Rosemarie	X	12/17/1960		
Last	First	Initial			
Occupation	Marital Status		No. of Dependents		
	---Select One---				
Financial Profile					
Last Updated: 10/01/1999			Liquid Net Worth (\$000's)	Total Net Worth (\$000's)	
Federal Tax Rate (%)	Annual Income (\$000's)		--- <td colspan="2">---</td>	---	
--- <td colspan="2">---<td></td><td colspan="2"></td></td>	--- <td></td> <td colspan="2"></td>				
Client Profile					
Name			Birth Date		
Smith	Sam	A			
Last	First	Initial			
Occupation	Marital Status		No. of Dependents		
	--- <td></td> <td colspan="2"></td>				
Financial Profile					
Last Updated: 10/01/1999			Liquid Net Worth (\$000's)	Total Net Worth (\$000's)	
Federal Tax Rate (%)	Annual Income (\$000's)		--- <td colspan="2">---</td>	---	
--- <td colspan="2">---<td></td><td colspan="2"></td></td>	--- <td></td> <td colspan="2"></td>				
Overall Knowledge					
Overall Experience					
--- <td></td> <td colspan="2"></td>					
Account Investment Objectives					
Client Investment Objectives for the following Accounts					
12345678	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Income	<input type="checkbox"/> Growth	<input type="checkbox"/> Speculation	
73558963	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Income	<input type="checkbox"/> Growth	<input type="checkbox"/> Speculation	

Fig. 10C

Client Suitability: Customer Advice Interaction Save Cancel

Client Profile

Organization Name
Money is Fun Investment Club Established Date
12/17/1960

Financial Profile

Last Updated: 10/01/1999

Gross Revenue (\$000') Net Revenue (\$000's) Liquid Net Worth (\$000's) Total Net Worth (\$000's)
---Select One--- ---Select One--- ---Select One--- ---Select One---

Name
Smith
Last

Sam
First

Role
First Listed Agent

Overall Knowledge

---Select One---

Overall Experience

---Select One---

Account Investment Objectives

Client Investment Objectives for the following Accounts

12345678 ☐ Capital Preservation ☐ Income ☐ Growth ☐ Speculation

Fig. 10D

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Fig. 11A
 Fig. 11A1
 Fig. 11A2

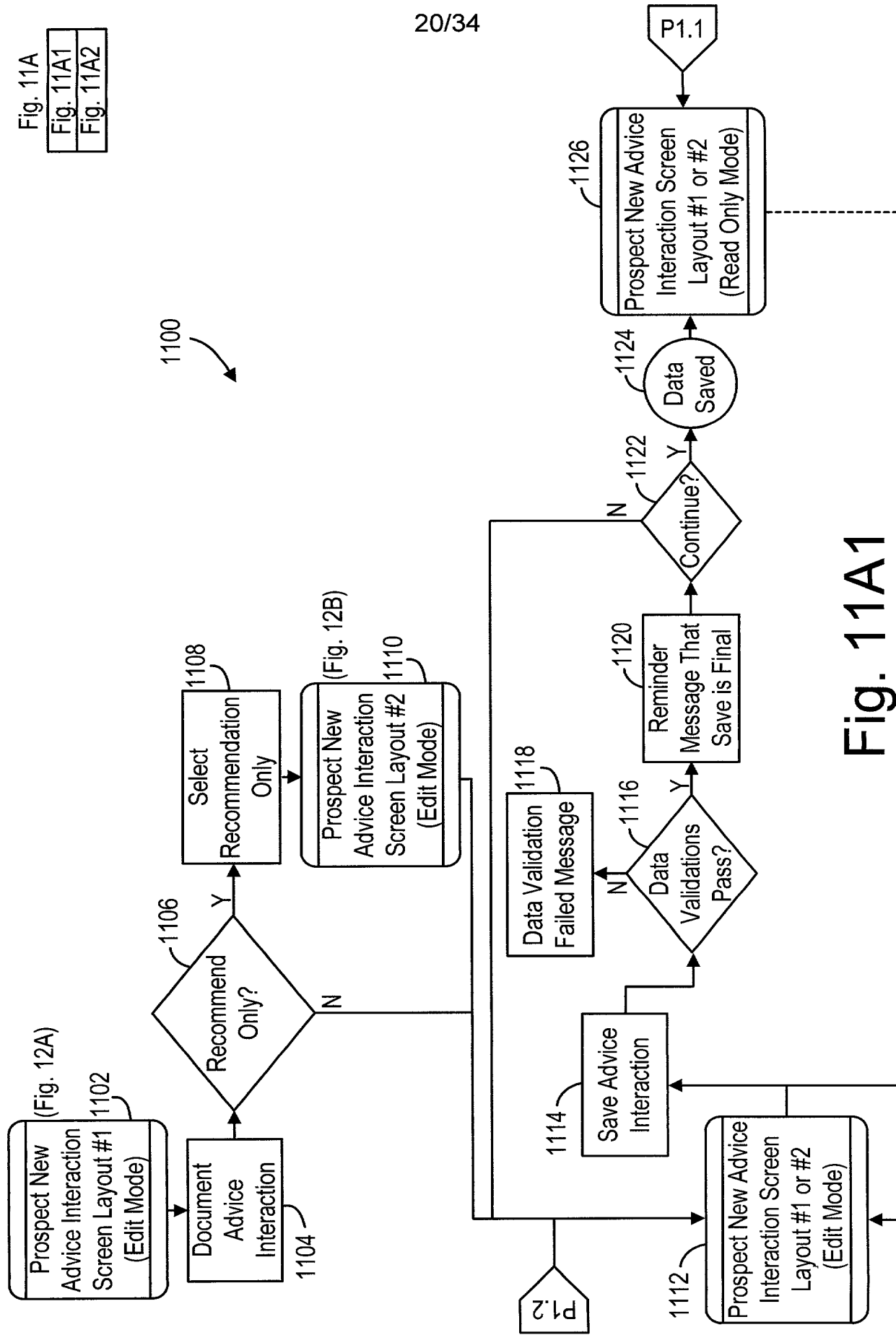


Fig. 11A1

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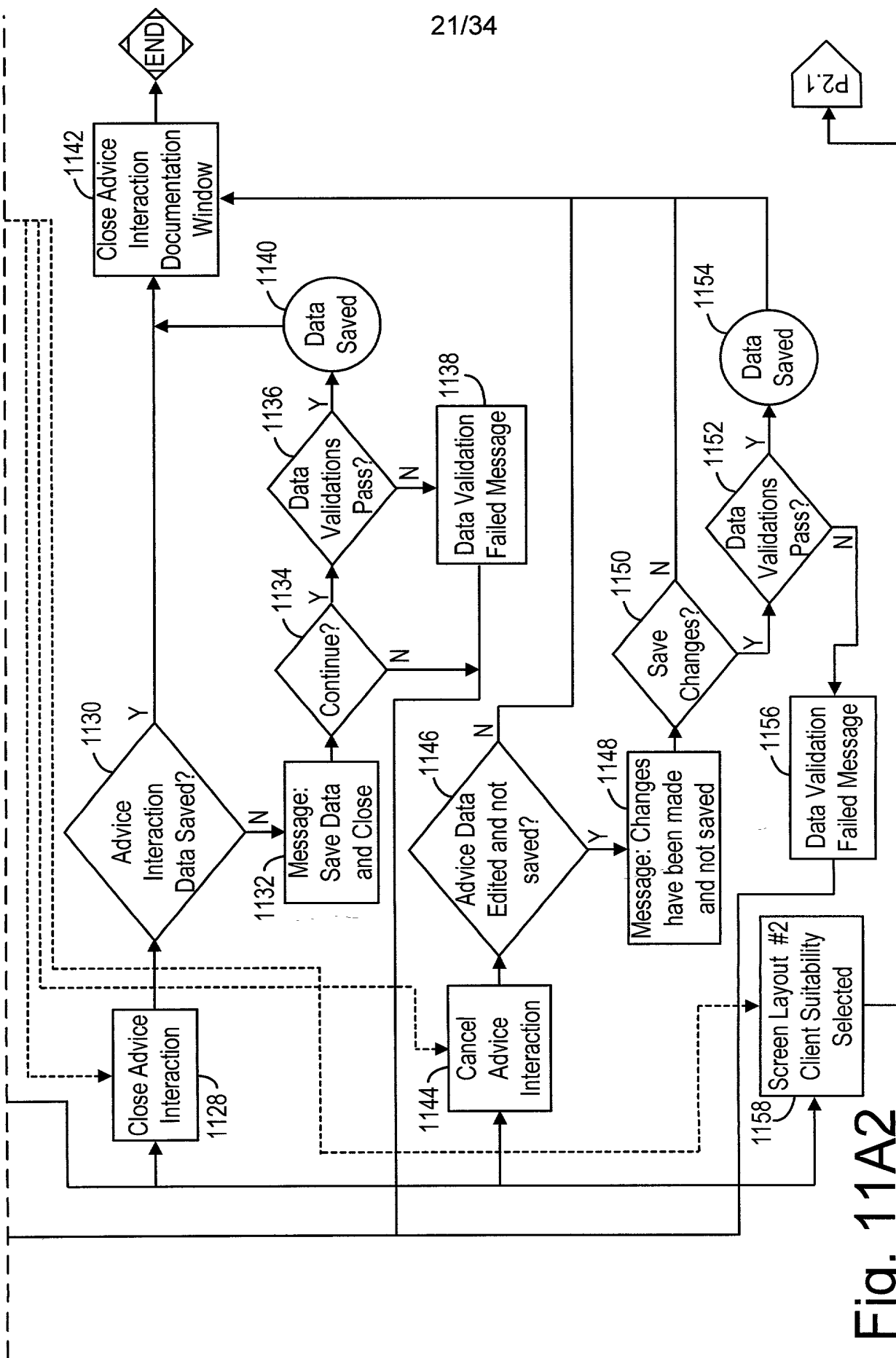
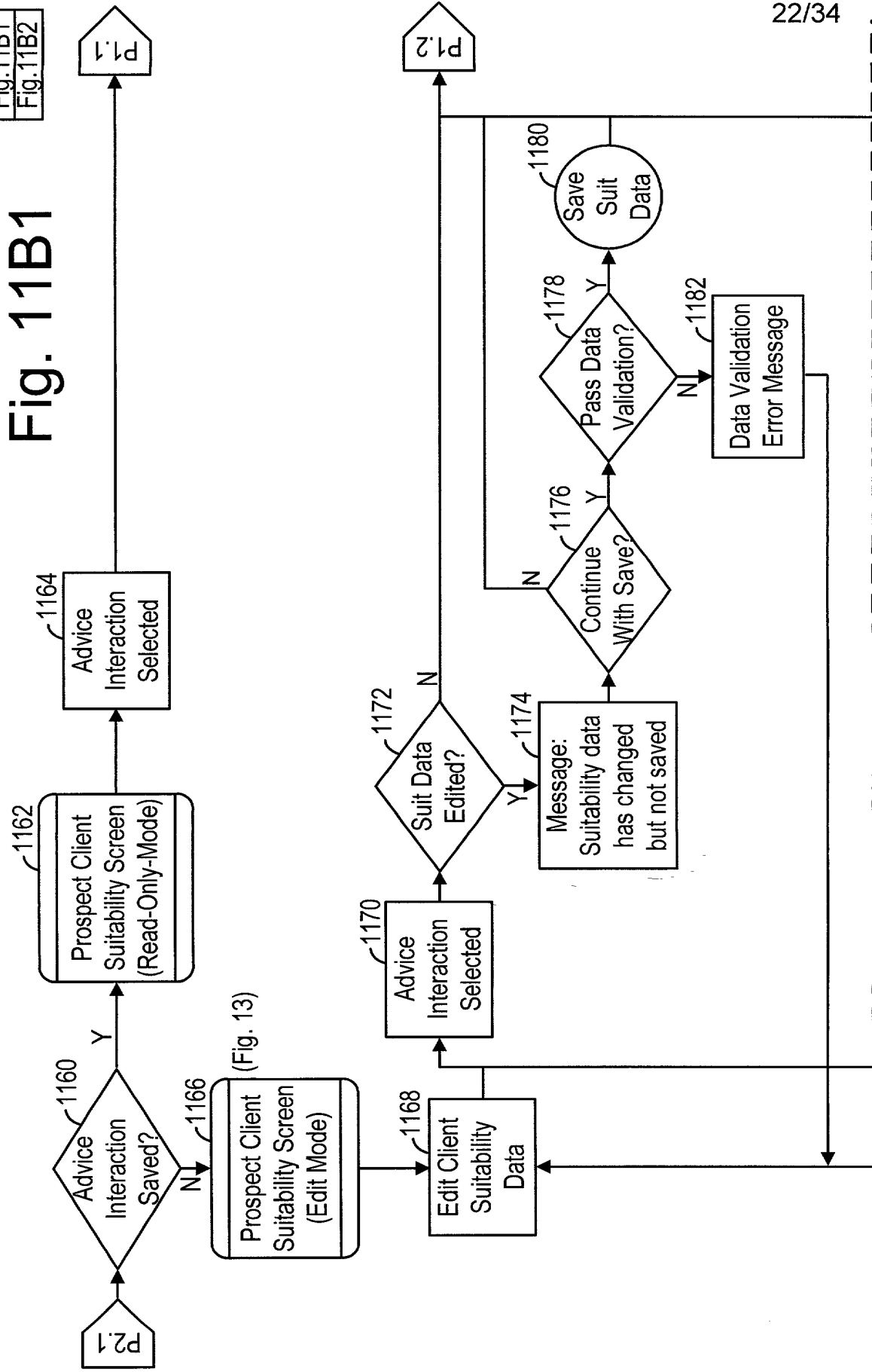


Fig. 11A2

Fig. 11B
 Fig. 11B1
 Fig. 11B2

Fig. 11B1



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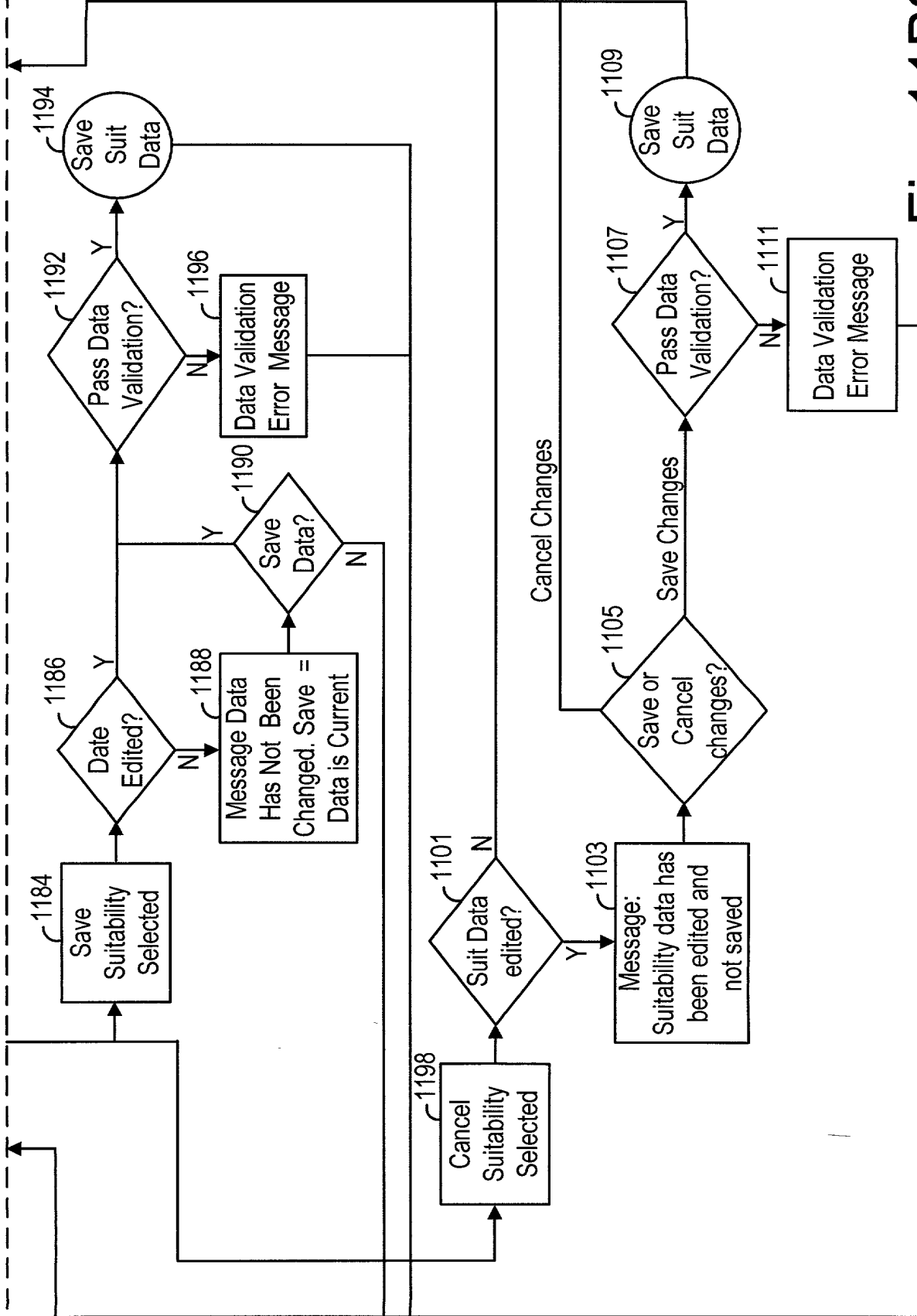


Fig. 11B2

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Save Close Cancel

New Advice Interaction: Prospect

Rep Beta Sign On RDRO Group/Team

Client Name

Scafa Rosemarie X
Last First Initial

Select One ▾

Date of Interaction

Advice Interaction Detail

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal

☐ Fixed Income ☐ Options ☐ Other

Tool

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

Education

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

Recommendation

☐ Recommendation(s) Only

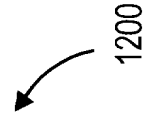


Fig. 12A

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New Advice Interaction: Prospect

Rep Beta Sign On RDRO Group/Team

Client Name

Scafa Rosemarie X
Last First Initial

Select One

Date of Interaction

Advice Interaction Detail

Referral: AdvisorSource (SAS)

☐ Investment Manager ☐ Financial Planner ☐ Trust/Estate Attorney ☐ CPA

Referral: Internal

☐ Fixed Income ☐ Options ☐ Other

Tool

☐ Portfolio Checkup ☐ Personal Financial Plan ☐ BIP

Education

☐ Asset Allocation ☐ Core and Explore ☐ Individual Guidance ☐ Goal Planning

Recommendation

☐ Recommendation(s) Only

1200

Fig. 12B1

Fig. 12B1A

Fig. 12B1B

Fig. 12B1A

Client Assessment: Recommendation(s) Only

Please review Suitability information pertinent to this Client Assessment and update if warranted.

☐ Suitability data has been reviewed

Securities Recommended

For securities that do not have a ticker symbol, please enter the Security Number in the Ticker Symbol field.

	Recommendation	Ticker Symbol
1.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
2.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
3.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
4.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
5.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
6.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
7.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
8.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
9.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
10.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
11.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>
12.	<input type="radio"/> Buy <input type="radio"/> Sell	<input type="text"/>

Fig. 12B1B

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Basis For Recommendation

- ☐ Initial Investment Strategy
- ☐ Asset Allocation Adjustment
- ☐ Change in Client Goals and/or Objectives
- ☐ Change in Client Risk Tolerance and/or Time Frame
- ☐ Change in Client Financial Situation
- ☐ Concentrated Equity Position
- ☐ Other (Please explain below)

	▼
	▲

Other Material Information (optional)

	▼
	▲

1200

Fig.12B2

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Client Suitability: Prospect Advice Interaction Save Cancel

Client Profile

Name	Birth Date		
Scafa Last	Rosemarie First	X Initial	
Occupation	Marital Status		No. of Dependents
	---Select One---		

Financial Profile

Last Updated: 10/01/1999	
Federal Tax Rate (%)	Liquid Net Worth (\$000's)
---Select One---	---Select One---
Total Net Worth (\$000's)	Overall Experience
---Select One---	---Select One---

1300

Fig. 13

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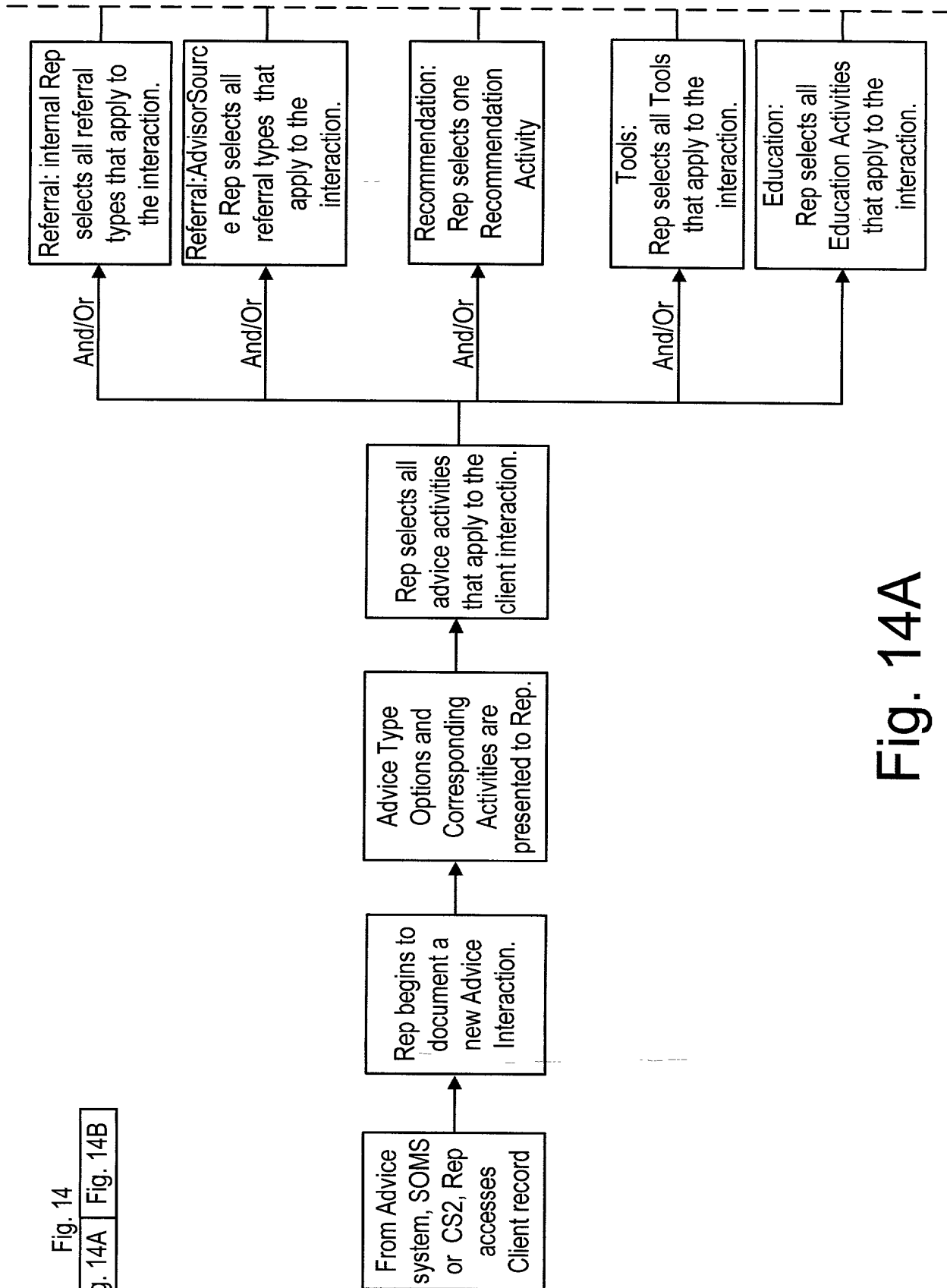


Fig. 14

Fig. 14A Fig. 14B

Fig. 14A

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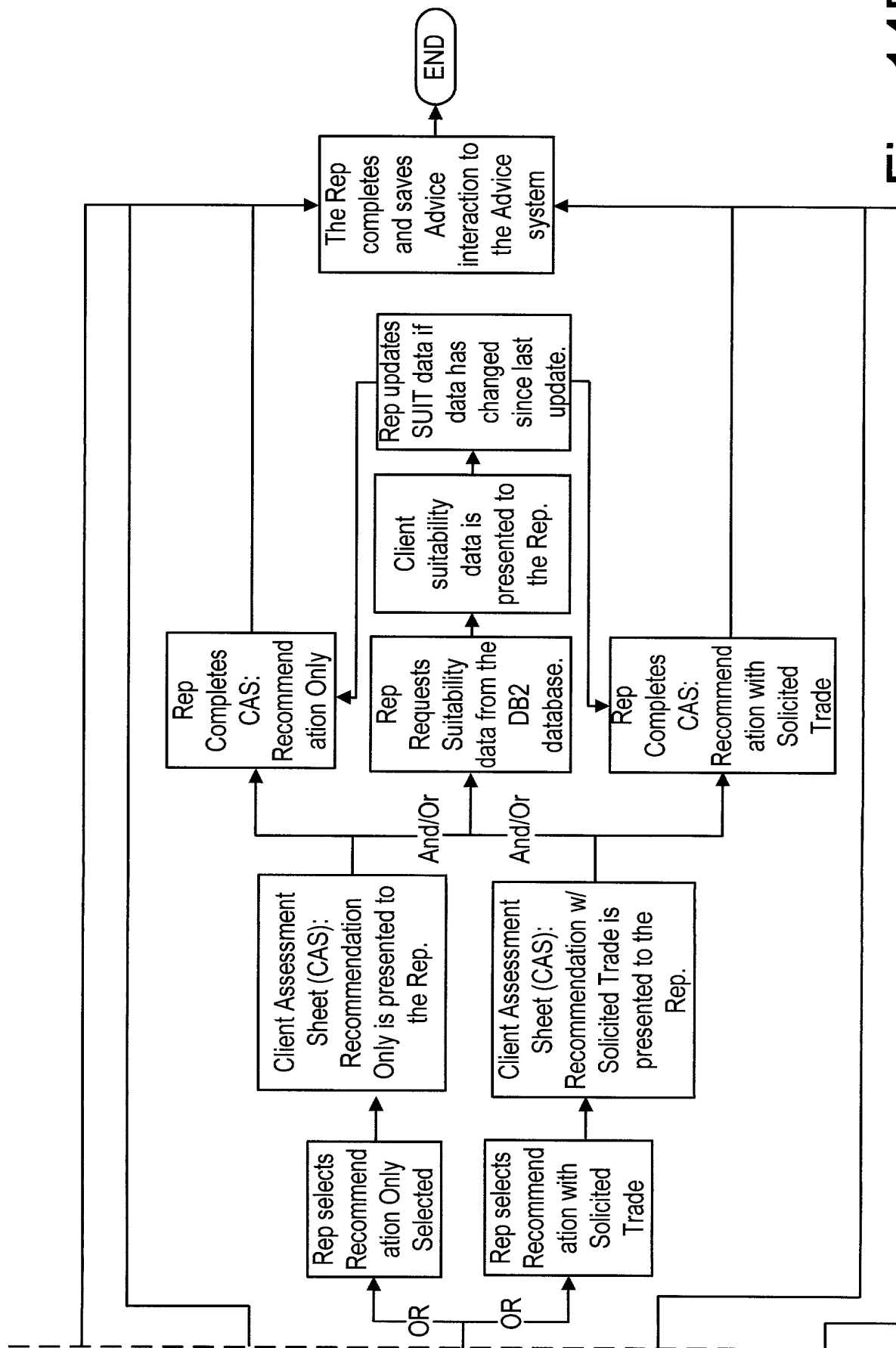
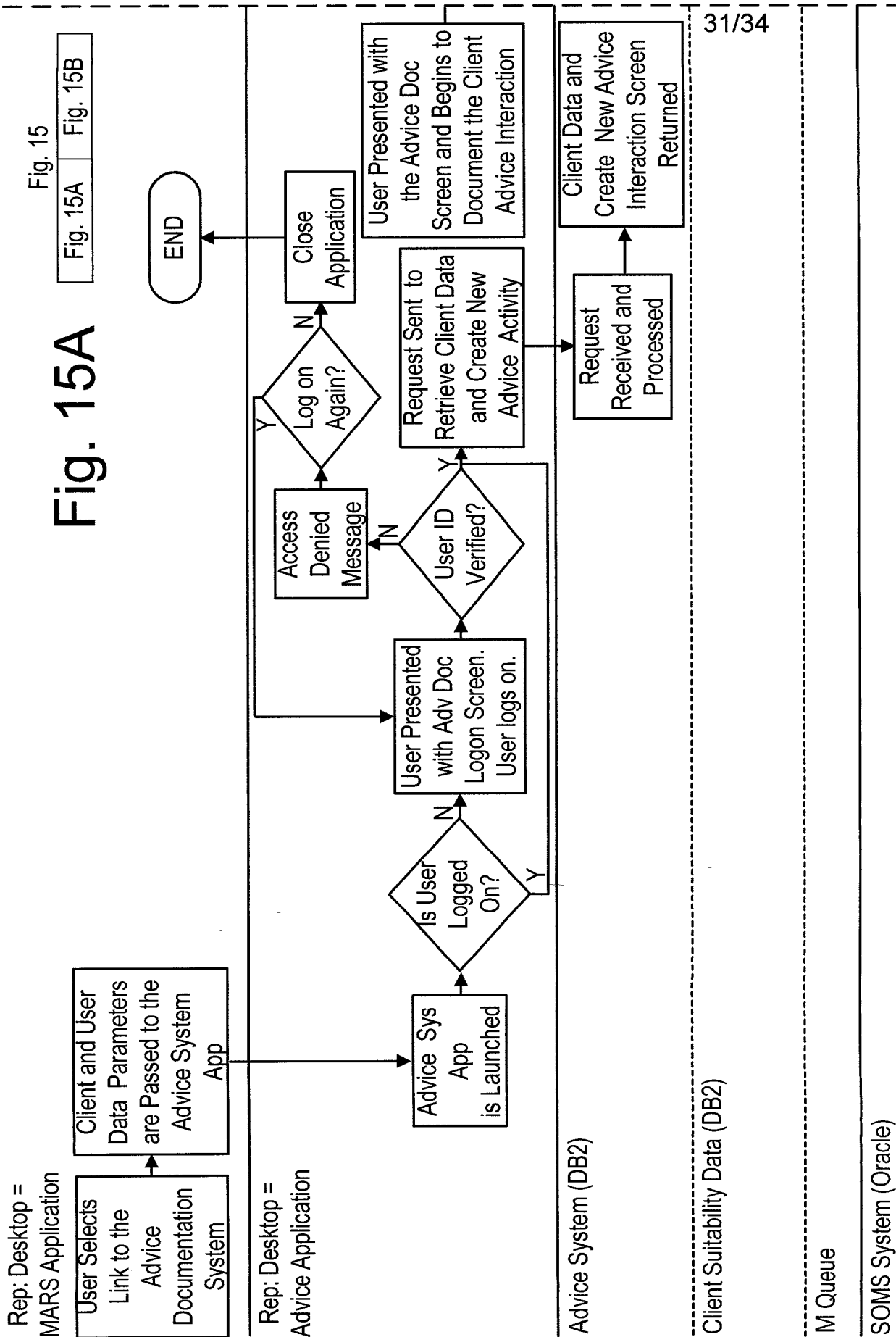


Fig. 14B



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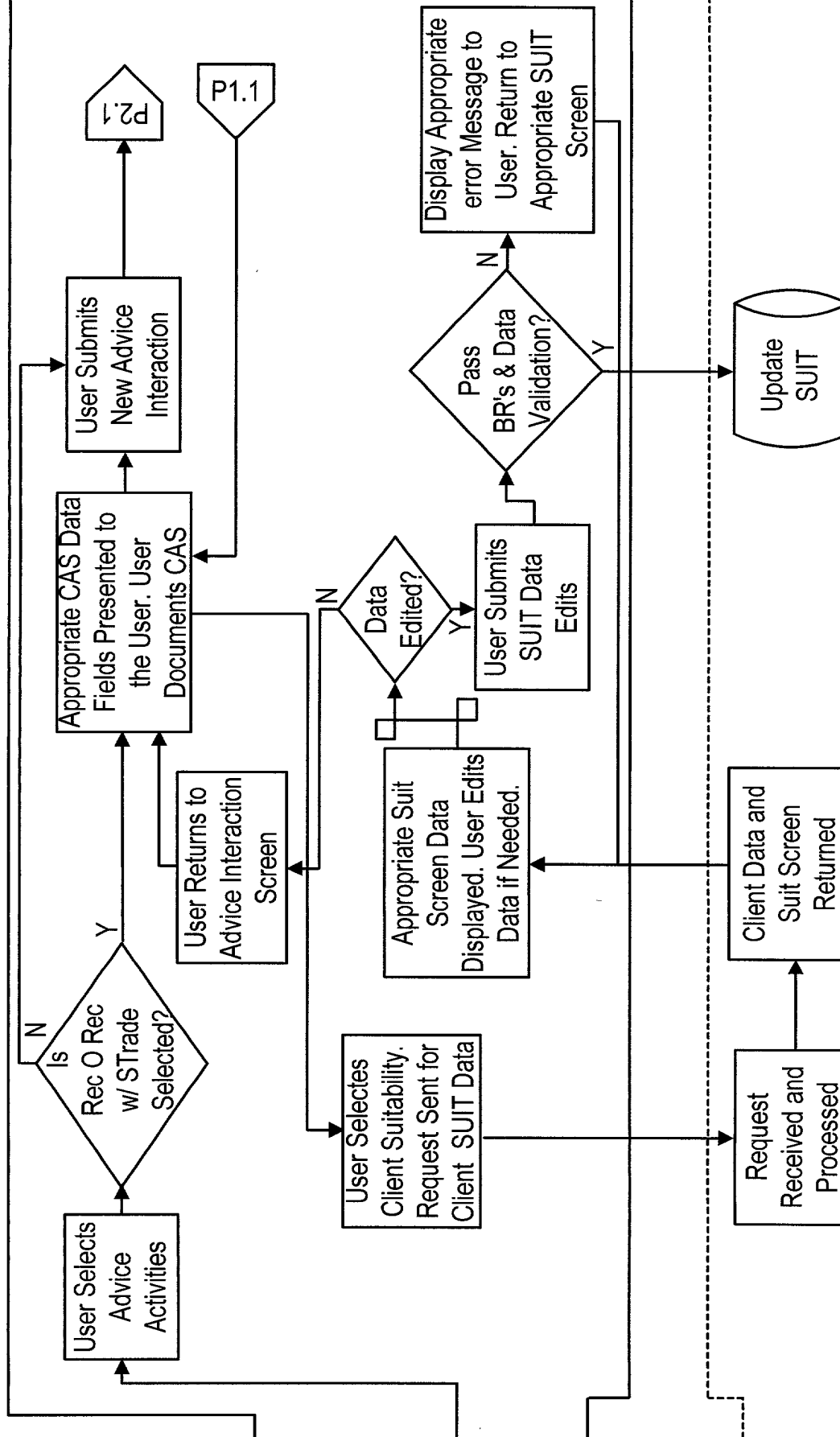


Fig. 15B

Rep: Desktop = Advice
 Application

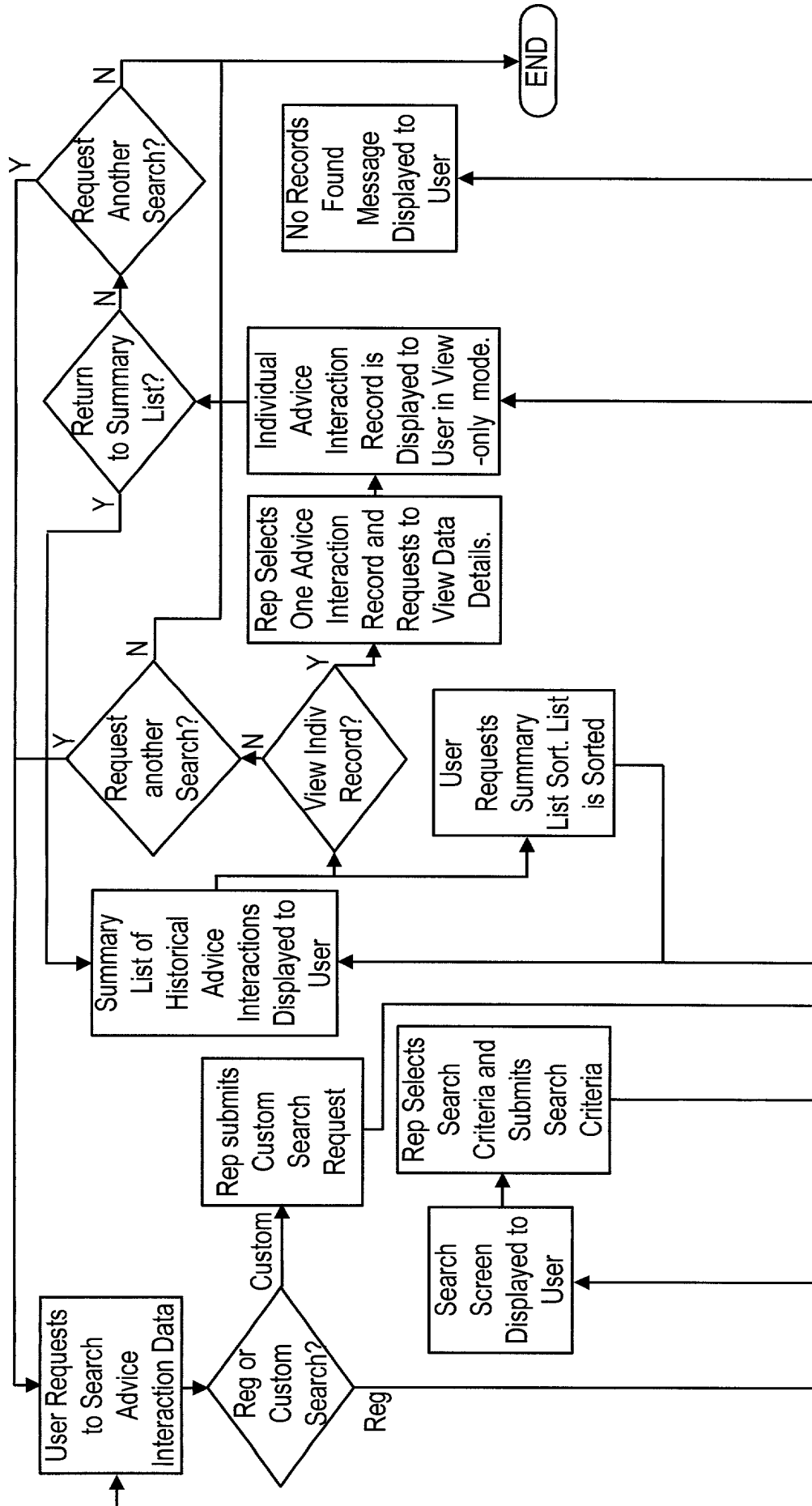


Fig. 16

Fig. 16A

Fig. 16B

Fig. 16A

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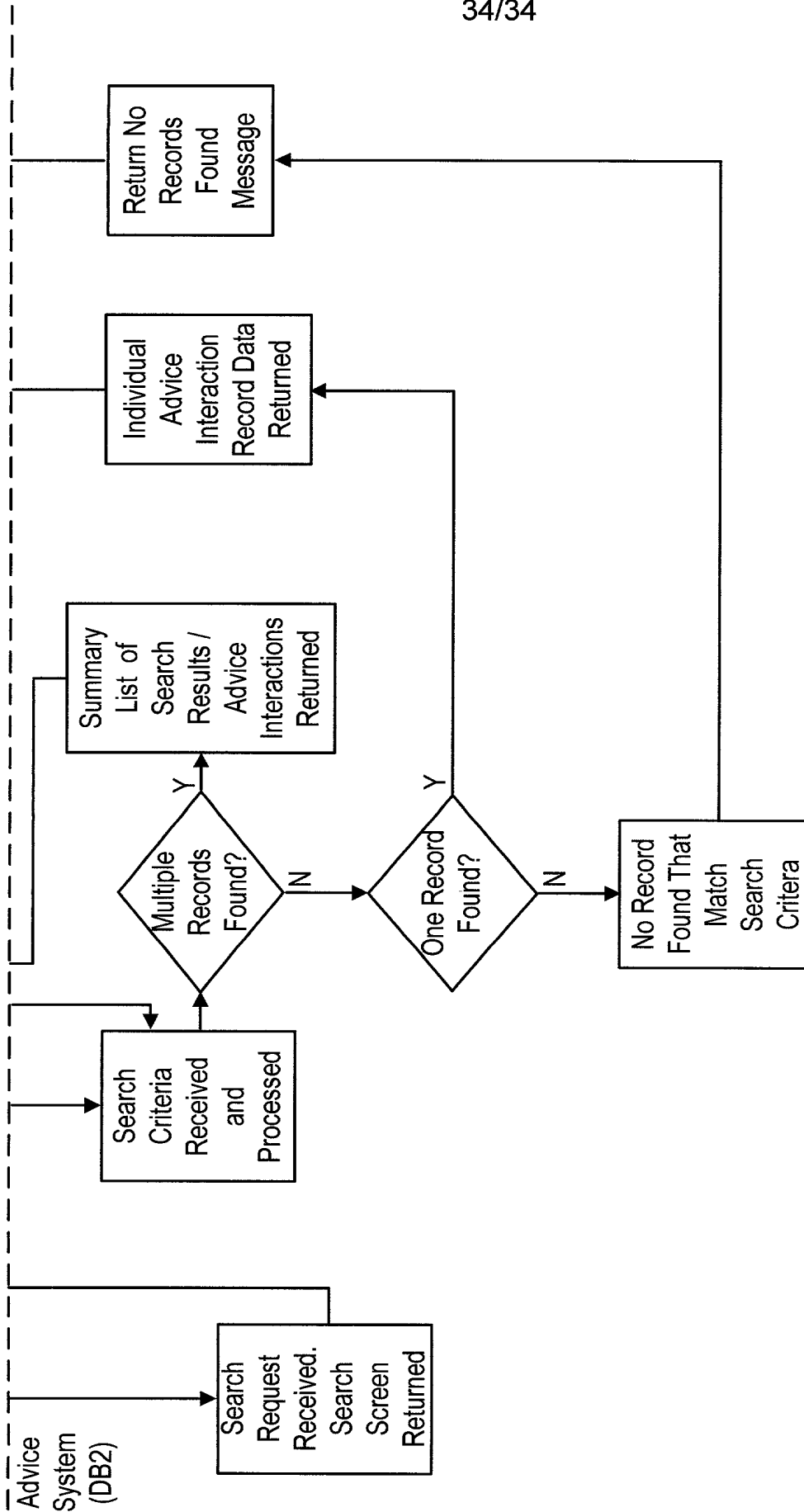


Fig. 16B